



July 30, 2010

TO: Project Managers and Project Directors
Anti-Drug Abuse (ADA) Enforcement Team Program

SUBJECT: REQUEST FOR APPLICATION (RFA)

The California Emergency Management Agency (Cal EMA) is pleased to announce the release of the Request for Application (RFA) for the Anti-Drug Abuse (ADA) Enforcement Team Program. ***Please read the attached RFA in its entirety as some sections have been updated or added – particularly the ADA Steering Committee, training, equipment opportunities and the reporting requirements.***

A total of \$20,000,000 in Justice Assistance Grant (JAG) monies has been allocated to the ADA Enforcement Team Program. The ADA grant award period will be for 12 months, beginning July 1, 2010, and ending June 30, 2011.

To be considered for funding for Fiscal Year (FY) 2010/2011, applicants must complete the enclosed application and submit it to Cal EMA no later than **September 1st**, 2010 at 5:00 p.m. Applications should be addressed to:

California Emergency Management Agency
Public Safety and Victim Services Programs
3650 Schriever Avenue
Mather, CA 95655
ATTN: ADA Program, Carrilynn Landman, Drug Enforcement Section

Only those applications in compliance with the objectives and activities of this program will be approved for funding. If you have any questions regarding this application, please contact Carrilynn Landman, Program Specialist, Drug Enforcement Section, at (916) 327-5667, or by e-mail at carrilynn.landman@calema.ca.gov.

Sincerely,

BRENDAN A. MURPHY
Director of Grants Management

ANTI-DRUG ABUSE (ADA) ENFORCEMENT TEAM

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ANTI-DRUG ABUSE (ADA) ENFORCEMENT TEAM

PART I – OVERVIEW

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 - B. CONTACT INFORMATION
 - C. APPLICATION DUE DATE AND SUBMISSION OPTIONS
 - D. ELIGIBILITY
 - E. FUNDS
 - F. PROGRAM INFORMATION
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A. INTRODUCTION

This Request for Application (RFA) provides the information and forms necessary to prepare an application for California Emergency Management Agency (Cal EMA) grant funds. The terms and conditions described in this RFA supersede previous RFAs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and is accessible on our website at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under “Quick links” for the 2010 Criminal Justice Programs *Recipient Handbook* or scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for “Recipient Handbooks.”

B. CONTACT INFORMATION

Questions concerning this RFA, the application process, or programmatic issues should be submitted by telephone, fax, or e-mail to:

Carrilynn Landman, Criminal Justice Specialist
(916) 327-5667 desk phone
(916) 323-1756 fax
Carrilynn.Landman@calema.ca.gov

C. APPLICATION DUE DATE AND SUBMISSION OPTIONS

One original copy of the application must be delivered to Cal EMA’s Public Safety and Victim Services Division by the date and time indicated below. Submission options are:

Regular or overnight mail, postmarked by **September 1, 2010** OR hand-delivered by 5:00 p.m. on **September 1, 2010** to:

California Emergency Management Agency
Public Safety and Victim Services Division
Criminal Justice Programs
3650 Schriever Avenue
Mather, CA 95655
Attn: ANTI-DRUG ABUSE RFA – Drug Enforcement Section

D. ELIGIBILITY

Counties previously funded under this program are eligible to submit an application for the ADA Enforcement Team Program to support a multi-jurisdictional drug task force. The eligibility criteria specific to the counties include:

- Counties must include implementation of an ADA Steering Committee, which includes the Sheriff, District Attorney (and at least one City Attorney, where applicable), Chief Probation Officer, County Alcohol and Drug Program Administrator and at least one Chief of Police within the county;
- In order to ensure uniformity, the agency selected by the ADA Steering Committee is to submit the application(s) under one cover, administer the ADA grant, and act as the single point of contact for the grant must be a local unit of government;
- Pursuant to PC Section 13879.80 and special legislation in the FY 2004/05 California Budget, to be eligible for funding, an agency **must** show the existence of a Drug Endangered Children (DEC) protocol (Refer to Part II, "Implementation", page 11 for further details); and
- The amount requested is not to exceed the allocation as listed on the ADA Enforcement Team Program Fiscal Year (FY) 2010/11 Funding Allocation Chart.

2010/11 ADA Allocation Chart

Alameda	\$937,076	Orange	\$675,369
Alpine	\$125,600	Placer	\$194,728
Amador	\$136,904	Plumas	\$131,501
Butte	\$197,109	Riverside	\$884,242
Calaveras	\$135,600	Sacramento	\$757,540
Colusa	\$129,948	San Benito	\$143,426
Contra Costa	\$529,434	San Bernardino	\$893,414
Del Norte	\$133,116	San Diego	\$1,155,576
El Dorado	\$161,872	San Francisco	\$499,994
Fresno	\$497,654	San Joaquin	\$502,954
Glenn	\$131,439	San Luis Obispo	\$179,697
Humboldt	\$162,949	San Mateo	\$278,948
Imperial	\$197,647	Santa Barbara	\$218,164
Inyo	\$129,658	Santa Clara	\$529,661
Kern	\$520,759	Santa Cruz	\$198,040
Kings	\$166,075	Shasta	\$188,206
Lake	\$149,388	Sierra	\$125,559
Lassen	\$130,548	Siskiyou	\$134,378
Los Angeles	\$3,662,961	Solano	\$308,429
Madera	\$172,513	Sonoma	\$226,569
Marin	\$173,818	Stanislaus	\$382,214
Mariposa	\$128,271	Sutter	\$150,858
Mendocino	\$151,479	Tehama	\$146,925
Merced	\$226,569	Trinity	\$126,636
Modoc	\$127,091	Tulare	\$310,872
Mono	\$128,789	Tuolumne	\$139,492
Monterey	\$268,327	Ventura	\$265,304
Napa	\$164,481	Yolo	\$180,422
Nevada	\$140,817	Yuba	\$152,990

E. FUNDS

The Cal EMA, Public Safety and Victim Services (PSVS) Division, provides funds to state, regional and local units of government. These funds are used to assist state agencies and local jurisdictions to improve the functioning of the criminal justice system, with emphasis on convicting violent and serious offenders and enforcing drug control laws. In California these programs fall under the ADA Enforcement Team Program and are funded by the Edward Byrne Memorial Justice Assistance Grant (JAG).

Congress established the JAG Program in the 2005 Omnibus Appropriations Package (H.R. 3036). JAG combined the Edward Byrne Memorial Formula Block Grant (Byrne) Program and the Local Law Enforcement Block Grant Program into a single program in an effort to streamline justice funding and grant administration. The JAG Program allows states, tribes and local government to support a broad range of activities to prevent and control crime based on their own local needs and conditions through six authorized Program Purpose Areas (PPAs) as described below.

JAG PPAs:

- Law enforcement programs;
- Prosecution and courts programs;
- Prevention and education programs;
- Corrections and community corrections programs;
- Drug treatment programs; and
- Planning, evaluation and technology improvement programs.

California has identified multi-jurisdictional drug task forces as the priority for the use of these funds under the Law Enforcement PPA for the FY 2010/2011 ADA Enforcement Team Program. Therefore, the funding of multi-jurisdictional drug task forces is the only appropriate use of these funds.

For FY 2010/2011, \$20,000,000 in JAG funds has been allocated to the ADA Enforcement Team Program. Applicants responding to this RFA must budget for 12 months. The grant period will begin July 1, 2010, and end on June 30, 2011.

F. PROGRAM INFORMATION

The focus of the ADA Enforcement Team Program is the support of multi-jurisdictional drug task forces (MJDTFs) to combat street to mid-level drug sales, manufacturing and distribution. The MJDTFs integrate federal, state and/or local law enforcement agencies and prosecutors for the purpose of enhancing interagency coordination and intelligence, and to facilitate multi-jurisdictional investigations. MJDTFs are further defined as cooperative programs involving two or more separate law enforcement entities which have different jurisdictional responsibilities, with formal agreements to work together as a team to enforce drug laws, usually with a focus on street to mid-level traffickers; prosecutorial projects must be clearly integrated with the operations of a MJDTFs to be included in this PPA. The role of the District Attorney's Office (and/or City Attorney's Office, where applicable) shall be to support the MJDTFs with prosecution efforts.

Drug Endangered Children Protocol:

In order to receive ADA Enforcement Team Program funding, an agency must show the existence of a Drug Endangered Children's protocol in their county that includes, but is not limited to, the following: (a) protocols for a multi-agency response to cases involving children; (b) a multi-agency team consisting of law enforcement, prosecution, and health or children's services personnel to respond to drug endangered children cases; (c) coordinated medical treatment and family services for drug endangered

children under the direction of a child services worker; and (d) written policies and standards for response to a narcotics crime scene where a child is present or when there is evidence that a child lives at the scene pursuant to Penal Code Section 13879.80 and Penal Code Section 13879.81.

Funds may be budgeted in support of DEC teams.

Mandatory Training for ADA Enforcement Teams:

- 1) **Bureau of Justice Assistance (BJA) Center for Task Force Integrity and Leadership Training:** The grantee agrees that within 120 days of award, for any law enforcement task force funded with these funds, the task force commander, agency executive, task force officers, and other task force members of equivalent rank, will complete required on-line (internet-based) task force training to be provided free of charge through BJA's Center for Task Force Integrity and Leadership. This training will address task force effectiveness as well as other key issues including privacy and civil liberties/rights, task force performance measurement, personnel selection, and task force oversight and accountability. Additional information will be provided by BJA regarding the required training and access methods via BJA's website and the Center for Task Force Integrity and Leadership. (www.ctfli.org).
- 2) **Drug Endangered Children (DEC) Training:** Cal EMA has recently funded the DEC Training Program. Within the next three years, each ADA Enforcement Team will be visited by a member of the DEC Training Program team to discuss, among other things, protocols, barriers and how to overcome them and services for drug endangered children. Your Cal EMA specialist will contact you when it is time for your ADA Enforcement Team's DEC Training.
- 3) **California District Attorneys Association (CDAA) Training:** Cal EMA has recently funded the CDAA to provide the ADA Enforcement Teams with a "tool box" of skills within the next three years. Some topics in the "tool box" are: wire taps, search warrants, the newest surveillance techniques, emerging illicit drug analogs, asset seizure and forfeiture, financial investigations, and enforcement against foreign drug cartels. You will be contacted when it is time for your ADA Enforcement Team's CDAA Training.

California Public Safety Procurement Program:

MJDTFs should consider using the 1033 and/or the 1122 Programs available through Cal EMA for your equipment needs. The programs offer significant savings and discounts for law enforcement.

1122 Program:

The 1122 Program is a Federal Program authorized through the National Defense Authorization Act which allows State and local governmental agencies the ability to purchase equipment and supplies suitable for Counter Drug, Homeland Security and Emergency Response activities from three separate federal sources. They are the Defense Logistics Agency, the Department of the Army, and the General Services Administration.

This program affords State and local agencies the opportunity to take advantage of discounts available to the Federal Government due to its large volume purchases. By using this system, agencies are able to maximize their budget/grant dollars. Contact: Cathy Vigil (916) 324-8578 or Barrett Benson (916) 324-9161, for more information.

1033 Program:

The National Defense Authorization Act authorizes the Secretary of Defense to transfer excess Department of Defense personal property to federal, state, and local Law Enforcement Agencies at no cost other than shipping. Contact: Russ Gibson, Stephene Barhorst, or Christlene Villefranche (916) 323-1453, for more information.

Please call the above contacts to find out if your agency is already participating. Visit us on the CalEMA Website under the Public Safety Procurement Branch.

Reporting Requirements:

Recipients will be required to submit progress reports using the Bureau of Justice Assistance, Performance Measurement Tool (PMT). Progress reports are due quarterly and must be completed in the PMT system 15 days after the end of each quarter.

PMT Online Reporting Due Dates:

July – September Statistics Due: October 15, 2010

October – December Statistics Due: January 15, 2011

January – March Statistics Due: April 15, 2011

April – June Statistics Due: July 15, 2011

In addition to the PMT report, you will also be required to submit **one** Cal EMA ADA Progress Report which will be due at the end of the grant period.

Cal EMA Progress Report Due: August 1, 2011

ANTI-DRUG ABUSE (ADA) ENFORCEMENT TEAM**PART II – RFA INSTRUCTIONS**

- A. PREPARING AN APPLICATION
 - B. PROJECT NARRATIVE
 - C. PROJECT BUDGET
 - D. APPLICATION APPENDIX
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A. PREPARING AN APPLICATION

The instructions in this section correspond to each of the application components and to the forms required to complete the application.

The applicant must use the forms provided in Part IV of this RFA or on our website at www.CalEMA.ca.gov. The forms must be printed on plain white 8½" x 11" paper for the application. The Project and Budget Narrative templates provided on the website are formatted to Cal EMA standards. If you create your own Project and/or Budget Narrative forms, the format must duplicate the Cal EMA templates and not allow for more space than provided by Cal EMA. If a space limitation is specified for a component, strict adherence to the space limitation is required.

Please provide the 17 (seventeen) required application components in the order listed below:

- Application Cover Sheet (included in Part IV)
- Grant Award Face Sheet (Cal EMA 2-101)
- Project Contact Information (Cal EMA 2-102)
- Signature Authorization and Instructions (Cal EMA 2-103)
- Certification of Assurance of Compliance – ADA (Cal EMA 2-104a)
- Federal Grant Funds Log (Cal EMA 2-105)
- Project Summary Form (Cal EMA 2-150)
- Project Narrative (Cal EMA 2-108)
- Project Budget Narrative (Cal EMA 2-107)
- Budget Forms (Cal EMA 2-106b)
- Reporting of Alien Convictions (Cal EMA 2-159)
- Project Service Area (Cal EMA 2-154)
- Organizational Chart
- ADA Steering Committee Minutes: The application must include the formal Minutes from the ADA Steering Committee meeting at which the agreement was made regarding the focus and role of each agency participating in the multi-jurisdictional drug task force. These formal Minutes must contain:
 - Agencies participating in the Steering Committee
 - How ADA program addresses the county's plan
 - How the implementing agency was determined
 - Show how JAG funds are being used to implement the plan

Cal EMA will accept photocopied signatures on the Steering Committee Minutes, but implementing agency must retain original signatures. (Please see Part II, Page 7 for a list of agencies required to participate on the Steering Committee.)

- Current Operational Agreement
- Signed DEC protocol (Cal EMA will accept photocopied signatures, but the implementing agency must retain original signatures).
- Application Appendix (refer to Part II, D)

NOTE: Pay special attention to the required forms. Failure to submit the correct forms will delay your county being placed into grant award agreement.

Do not bind the application; fasten in the upper left corner.

B. PROJECT NARRATIVE

The project narrative is the main body of information describing the problem to be addressed, the plan to address the identified problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the plan.

To be eligible for funding, agencies within a county are required to meet and prepare a plan to address illegal drugs and associated violence in their jurisdiction. The Steering Committee also must determine how the JAG funds will be utilized to implement this plan as well as which agency should be the implementing agency. Funds for this program are to be used for the purposes of enforcing the state and local controlled substances laws and to improve the functioning of the criminal justice system with emphasis on drugs through multi-jurisdictional drug task forces.

The ADA Steering Committee's plan must be a cooperative, collaborative, multi-disciplinary approach. The composition of the ADA Steering Committee requires the **mandatory participation** of:

- law enforcement (including both the Sheriff's Department AND at least one police department);
- prosecution (including both the District Attorney's Office AND at least one City Attorney's Office, where applicable);
- probation agencies; and
- County Alcohol and Drug Program Administrators.

For these projects, participants are strongly encouraged to also include school superintendents, judges, the Public Defender, state/federal enforcement agencies, treatment and rehabilitation professionals, and additional agencies as appropriate to their project.

The focus of the ADA Enforcement Team Program is the support of Multi-Jurisdictional Drug Task Forces (MJDTFs) to combat street to mid-level drug sales, manufacturing and distribution. Therefore, a majority of the ADA grant funds (51 % or greater) MUST directly support the MJDTFs. The ADA Enforcement Team Program defines the role of the District Attorney's Office (and/or the City Attorney's Office, where applicable) as *support only*. The ADA Enforcement Team Program is *not* a vertical prosecution program. Only a PORTION (up to 49 %) of the ADA grant funds may be budgeted to support the prosecution component of the program.

For those counties that choose a District Attorney's Office as the implementing agency for their county's ADA program, ADA Steering Committee minutes must illustrate that a thorough discussion regarding the use of these funds to directly support the MJDTFs was had. The ADA Program is NOT meant to support staff within a DA's office not working on the ADA task force. Applications indicating such will be returned.

All applicants are encouraged to establish a long-range (up to three years) comprehensive strategy to address their identified goals. This three-year strategy is designed to promote long-term, proactive planning and facilitate greater coordination and collaborative efforts.

Although applicants may refer to their long-range strategy in the narrative, this specific application is only for a 12-month period, as it relates to objectives, activities, and budget.

In developing a comprehensive strategy, all of the key individuals should be included in the process (i.e., ADA Steering Committee members and others with relevant knowledge of the drug issues within their jurisdiction). Through a facilitated and collaborative effort, the objectives are determined and the approach is collectively decided upon.

The project narrative also contains detailed information that describes the applicant, the need for funding, and the plan to address the community drug problem/issue through appropriate and achievable objectives and activities. The project narrative should be page numbered and is to be divided into three sections: Problem Statement, Plan, and Implementation.

1. Problem Statement

The Problem Statement should include a brief description of the county, a detailed description of the nature and extent of the drug problem affecting the county, and the anticipated impact of the ADA Enforcement Team Program.

2. Plan

This section describes the **mandatory** objectives to address the problem. For each objective, describe the activities and processes that will be implemented for FY 2010/2011. All activities must be realistic, measurable, and quantifiable. In developing the objectives there is no space limit; however, begin a new page for each objective.

The plan will demonstrate the processes and methods the county will utilize to attack the various problems that have been identified and prioritized in the Problem Statement.

Objectives and Activities:

Objectives, Activities, and Performance Measures:

To better determine effectiveness, the projects funded through the ADA Enforcement Team Program have moved from process evaluation to impact and outcome evaluation. Process evaluation typically counts/tracks the “outputs” (i.e., arrests), while impact evaluations consider the “outcomes” (safer communities, decrease in drug availability, less demand for drugs, etc.).

A. Objectives – Include a minimum of three objectives.

Objectives focus on the methods that will be used to address the problem. They should be clearly stated, realistic and **measurable**. They should reflect the project description and support the achievement of the project goals.

Describe in detail the objectives that will be implemented to achieve the goals. Each objective must also be linked to one or more corresponding performance measures.

- B. Activities – The key operational elements** of the program are the activities, which occur in support of the achievement of objectives. Activities must be specific, detailed enough to determine effectiveness, and must be reflective of the budget.

Describe in detail the activities to be performed to accomplish each objective. Activities must be specific and **measurable**.

- C. Performance Measures and Projections** – Performance measures must be clearly identified, results-oriented and reasonably attainable. Use the following **definitions** to assist in your response:

Output - The amount of work done; must be quantifiable (numbers projected and numbers achieved). Enter specific numbers, not percentages and not a range of numbers.

Output Measure - A measure of the volume of something actually produced; counts the goods and services produced (workload).

Outcome - The results of activities designed to accomplish the project's goal(s) and demonstrate a change.

Outcome Measure - The unit of measurement used to evaluate the success of an outcome; measures the actual impact or public benefit of a project's actions.

Determine how the impact of the plan (project) can be assessed. The measurements for each objective may be a combination of outputs and outcomes. Based on federal requirements, Cal EMA has moved from output measures alone, to incorporate outcome measures. Outcome measures can measure the effects/impact of the project efforts. If you eliminate the identified problem, what would or would not happen? Once the anticipated effects have been determined, baseline data needs to be established to measure program effectiveness over time. Recipients will be required to submit output/outcome data in the progress reports.

The following law enforcement objectives are MANDATORY and the following prosecution objectives are MANDATORY for MJDTFs that fund a prosecutor. Use these measures, as well as others you establish, to determine how your objectives will be achieved.

Law Enforcement Objective #1: During the grant year, reduce illegal activities of targeted offenders through law enforcement, prosecution, and probation efforts by conducting special investigations using multi-jurisdictional drug task forces, integrating federal/state/local drug enforcement agencies, prosecution and probation departments.

Outcome Measures include, but are not limited to:

Number of investigations initiated

Number of investigations closed

Total Amount of Drugs Seized by Type and Quantity

Number of clandestine methamphetamine labs discovered

Total number of EPIC cards submitted for clandestine meth labs discovered

Total number of clandestine meth labs dismantled

Total number of EPIC cards submitted for clandestine meth labs dismantled

Number of other clandestine drug labs discovered

Total number of EPIC cards submitted for other clandestine drug labs discovered

Total number of other clandestine drug labs dismantled

Total number of EPIC cards submitted for other clandestine drug labs dismantled
Total number of clandestine lab dump sites discovered
Total pounds of waste discovered at lab dump sites
Total number of EPIC cards submitted for lab dump sites discovered
Total number of referrals to the Dept. of Toxic Substances Control for lab dump site clean-up

Law Enforcement Objective #2: Arrest and incarcerate those responsible and use state and/or federal law to identify and seize the assets of those responsible for the sale and supply of illegal drugs.

Outcome Measures include, but are not limited to:

Number of drug investigations resulting in arrest
Number of suspects arrested
Total number of weapons seized
Number of search warrants served
Number of cases referred for prosecution
Number of investigations resulting in asset seizure
Dollar amount of cash and property seized

Law Enforcement Objective #3: Focus on the safety and well being of children by removing children who are found in the presence of clandestine meth labs and other clandestine drug labs and/or who are found in settings involving the use, possession, sale or transportation of illicit drugs, pursuant to California Penal Code (PC) Sections 13879.80 and 13879.81.

Outcome Measures include, but are not limited to:

Total number of investigations initiated which resulted in finding children living in or exposed to illicit drug environments
Total number of children removed jointly with Child Protective Services (CPS) from illicit drug environments as a result of an investigation
Total number of children removed without CPS involvement from illicit drug environments as a result of an investigation
Total number of children who were provided services
Total number of children drug tested for exposure to drugs/chemicals
Total number of children detained, pursuant to California Welfare and Institutions (W&I) Code Section 300
Total number of children testing positive for controlled substances

Law Enforcement Objective #4: Hold accountable those individuals who endanger the safety and well being of children by arresting those individuals who willfully create a situation and/or environment where the life or limb of a child may be endangered or his/her health injured, pursuant to California Penal Code (PC) Sections 273a and 273b.

Outcome Measures include, but are not limited to:

Total number of defendants with arrests referred for 273a
Total number of defendants with arrests referred for 273b

Prosecution Objective #1: Reduce the illegal activities of targeted offenders through coordinated law enforcement, prosecution, and probation efforts by prosecuting and

convicting those identified by special investigations using multi-jurisdictional drug task forces, integrating federal/state/local drug enforcement agencies, prosecution and probation departments.

Outcome Measures include, but are not limited to:

Number of cases referred from task force for prosecution
Number of defendants convicted of any charge
Method of conviction
Number of defendants NOT convicted of any charge
Disposition

Prosecution Objective #2: Forfeit the assets of sellers, suppliers, and distributors of illegal drugs.

Outcome Measures Include, but are not limited to:

Number of forfeiture proceedings initiated
Number of forfeiture proceedings completed
Dollar amount ordered
Dollar amount forfeited

Prosecution Objective #3: Hold accountable those individuals who endanger the safety and well being of children by prosecuting and convicting those individuals who willfully create a situation and/or environment where the life or limb of a child may be endangered or his/her health injured, pursuant to California Penal Code (PC) Sections 273a and 273b.

Outcome Measures include, but are not limited to:

Total number of defendants with criminal charges referred for 273a
Total number of defendants with criminal charges referred for 273b
Total number of defendants with criminal charges filed for 273a
Total number of defendants with criminal charges filed for 273b
Total number of defendants convicted of child endangerment (273a)
Total number of defendants convicted of child endangerment (273b)
Total number of defendants who were not convicted of any charge because of an acquittal
Total number of defendants who were not convicted of any charge because charges were dropped
Total number of defendants who were not convicted of any charge because the case was referred to another jurisdiction
Disposition of case

3. Implementation

This section of the application should address the applicant's ability to implement the project. Provide a description of the plans for coordination. Please adhere to the following guidelines:

Provide a description of the plans for coordination.

a. Organizational Description

Provide a narrative that describes the relationship between the ADA Steering Committee, the overall project, project staff, and other participating agencies. For all applicants, describe the

project's organizational framework, listing all funded and donated positions assigned to the project.

b. Organizational Chart

Provide an organizational chart demonstrating the relationship between the ADA Steering Committee, if applicable, the project components, project staff and other participating agencies. Clearly highlight grant-funded positions, **listing the percentage of time funded by grant**. Titles for individuals should match those in the budget.

c. Drug-Endangered Children (DEC) Protocol:

Per Penal Code Section 13879.80 and control language in the California Budget, to be eligible for funding, an agency must show the existence of a DEC Protocol that includes, but is not limited to:

- An MOU between Law Enforcement, Prosecution and Health/Children's Protective Services that outlines a written plan including policies and procedures that spell out how agencies will deal with children found at narcotics crime scenes, or where there is an indication that a child lives at the scene;
- An identified contact person for each agency included in the MOU who will deal with DEC cases; and
- Protocol that outlines CPS will be responsible for the child's medical and family services.

C. PROJECT BUDGET

The purpose of the project budget is to demonstrate how the applicant will implement the plan with the funds available through this program. The budget is the basis for management, fiscal review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds. Projects may supplement grant funds with funds from other sources. Budgets are subject to Cal EMA modifications and approval.

Cal EMA requires the applicant to develop a **line-item** budget which will enable the project to meet the intent and requirements of the program and ensure the successful and cost effective implementation of the project. The applicant should prepare a realistic and prudent budget avoiding unnecessary or unusual expenditures which detract from the accomplishment of the objectives and activities of the project.

Note: The following information is provided to assist in the preparation of the budget:

- Strict adherence to required and prohibited items is expected.
- Where the applicant does not budget for a required item, the applicant assumes responsibility.
- Failure of the applicant to include required budget items does not eliminate responsibility to comply with those requirements during the implementation of the project.

The applicant should refer to the *Recipient Handbook* for additional information concerning Cal EMA budget policy or to determine if specific proposed expenses are allowable. The *Recipient Handbook* is accessible on our website at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under "Quick links" for the *2010 Recipient Handbook* or scroll over the "Grant Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for "Recipient Handbooks." Should you have additional budget questions, contact the person listed in Part I, section B.

Those applicants implementing a prosecution component may budget a portion (49 % or less) of project funds for that purpose, however the majority (51 % or greater) of ADA grant funds must be budgeted to provide support directly to the multi-jurisdictional task forces. Vertical prosecution is available under another Cal EMA grant.

1. Budget Narrative

The applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the application preceding the budget pages, describing:

- how the project's proposed budget supports the Program's objectives and activities;
- how funds are allocated to minimize administrative costs and support direct services;
- the duties of project-funded staff, including qualifications or education level necessary for the job assignment (this does not take the place of the brief justification required in the line-item budget);
- how project-funded staff duties and time commitments support the proposed objectives and activities;
- proposed staff commitment/percentage of time to other efforts, in addition to time allocated to this project;
- the necessity for subcontracts and unusual expenditures; and
- the mid-year salary range adjustments.

2. Specific Budget Categories

In Part IV of this RFA, or on our website, you can access Excel spreadsheets for each of the following three budget categories:

PLEASE NOTE: Once project is in Grant Award Agreement, a modification (Form 2-223) for any new line items must be submitted to your specialist **prior to the grant's end date**. Any monetary changes between existing, approved line items within a category, must be submitted on a modification (Form 2-223) prior to the end of the grant's liquidation period.

a. Personal Services – Salaries/Employee Benefits (Cal EMA 2-106a)

1) Salaries

Personal services include services performed by project **staff directly employed by the implementing agency** (even though the ADA grant is awarded to the "County of _____", only staff employed by the implementing agency belong in the Personal Services Category. All other county staff belong in the Operating Expenses Category) and must be identified by position and percentage of salaries. They may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must also be budgeted as a part of salaries. If the applicant's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the applicant must be shown as participating staff (see *Recipient Handbook*, Section 4500) in the Operating Expenses Category. Consultant services remain under Operating Expenses.

2) Benefits

Employee benefits must be identified by **type and percentage of salaries**. The applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

b. Operating Expenses (Cal EMA 2-106b)

Operating expenses are defined as necessary expenditures other than personal salaries, benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (i.e., to further the program objectives as defined in the grant award) and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, **participating staff who are not employed by the implementing agency**, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees and other consumable items. Furniture and office equipment with an acquisition cost of less than \$5,000 (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category. Otherwise, these fall under equipment expenses.

Salaries for staff not directly employed by the applicant must be shown as consultant and/or participating staff costs (whichever is applicable per *Recipient Handbook* Sections 3710 and 4500), under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the recipient and made available for review during a Cal EMA site visit, a monitoring visit, or an audit. In the case of grants being passed through a recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category.

Budget for anticipated training related to the project. The applicant must include sufficient per diem and travel allocations for person(s) to attend required Cal EMA training conferences or workshops.

Allowable Expenses:

- 1) **Confidential Fund** expenditures are costs that will be incurred by law enforcement agencies using grant personnel working undercover or in another investigative capacity. It may include the purchase of information, physical evidence (e.g., narcotics or stolen property), or services. Confidential fund expenditures are only allowable for grants to state or local law enforcement agencies. Refer to the ADA Enforcement Team Program Guidelines for the Federal Guidelines on Confidential Funds. (If applicable to your project, please complete the Confidential Funds Form, Cal EMA 2-163)

- 2) **Drug Endangered Children (DEC) Team** expenditures for personnel working as part of the DEC team to further the goals and objectives of the ADA Enforcement Team Program grant. Supplies and equipment necessary to equip the DEC team for ADA purposes is also allowable.
- 3) **Training** expenditures related to the mandatory trainings identified in Part I of the RFA for personnel working on the task force are allowable.

c. Equipment (Cal EMA 2-106c)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation, and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

Allowable Equipment:

- 1) **Vehicles** are an allowable expense for the ADA Enforcement Team Program with prior written approval from Cal EMA. Follow the justification instructions in Section 2331 of the *Recipient Handbook*.
- 2) **Weapons and Ammunition** are allowable expenditures for Multi-Jurisdictional Drug Task Forces. Lethal weapons can be approved by Cal EMA staff with proper justification as deemed necessary on a case-by-case basis. Non-lethal weapons such as tasers, pepper ball guns, and bean bag guns are allowed.

NOTE: The left column of each budget category on the Spreadsheet requires line-item detail including the calculation and justification for the expense. Enter the **whole dollar amount only** (no cents) on each line item in the correct column of the Budget Category form. You may add extra rows if necessary. The spreadsheets automatically calculate the subtotal at the end of each budget category and provide the total of the three spreadsheets at the bottom of the Equipment page. The total of the budget must correspond to the amount of the Total Project Cost (Block 10G) on the Grant Award Face Sheet.

D. APPLICATION APPENDIX

The application appendix provides Cal EMA with additional information from the applicant to support components of the application. The following must be included:

- Confidential Funds (Cal EMA 2-163) [if applicable]
- Noncompetitive Bid Request (Cal EMA 2-156) [if applicable]
- Out-of-State Travel Request (Cal EMA 2-158) [if applicable]
- Computer and Automated Systems Purchase Justification Guidelines (Cal EMA 2-157) [if applicable]

ANTI-DRUG ABUSE (ADA) ENFORCEMENT TEAM

PART III – POLICIES AND PROCEDURES

NOTE: The applicant is strongly encouraged to review the following sections before preparing the application.

- A. FINALIZING THE GRANT AWARD AGREEMENT
 - B. ADMINISTRATIVE REQUIREMENTS
 - C. BUDGET POLICY
-

A. FINALIZING THE GRANT AWARD AGREEMENT

1. Standard Project Funding Authority

Allocation of funds is contingent on the enactment of the State Budget. Cal EMA does not have the authority to disburse funds until the budget is passed and the Grant Award Agreement is fully executed. Expenditures incurred prior to authorization are made at the project's own risk and may be disallowed. Cal EMA employees are not able to authorize an applicant to incur expenses or financial obligations prior to the execution of a Grant Award Agreement. However, once the Grant Award Agreement is finalized the Grant Recipient may claim reimbursement for expenses incurred on, or subsequent to, the start of the Grant Award period.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, Cal EMA may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent state or federal funds are available for payment of such costs.

Cal EMA Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Grant Award Agreement.

2. Processing Grant Awards

a. Grant Award Conditions

Cal EMA may add grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, these will be discussed with the applicant and a copy of the conditions will be sent to the Grant Recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by Cal EMA.

b. Grant Award Agreement

A copy of the executed Grant Award Agreement and pertinent attachments will be sent to the Project Director. The applicant is not authorized to incur costs against the grant until a copy of the fully executed Grant Award Agreement is received. When the executed grant is received a Report of Expenditures and Request for Funds (Cal EMA 2-201) may be submitted for reimbursement.

c. Grant Award Amounts

When the amount of funds available is limited, Cal EMA may reduce the amount of the grant award from the amount requested by the applicant. In addition, Cal EMA reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, Cal EMA will notify the applicant prior to executing the Grant Award Agreement.

B. ADMINISTRATIVE REQUIREMENTS

The following requirements apply to projects selected for funding and are explained below for the recipient's planning purposes.

1. The *Recipient Handbook (RH)*

The *Recipient Handbook* is accessible on our website at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under 'Quick links' for the 2010 Criminal Justice Programs *Recipient Handbook* or scroll over the "Grant Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for "Recipient Handbooks." The *Recipient Handbook* contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the *Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

2. Internet Access (*RH 11500*)

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose unless specifically prohibited by the RFA instructions.

3. Progress Reports and Data Collection (*RH 10100*)

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document the information reported in the progress reports. The records must be kept by the project for a period of three years. During site/monitoring visits, Cal EMA will review these records for accuracy and compare them with the reported data submitted on the progress reports.

4. Monthly/Quarterly Report of Expenditures/Request for Funds (*RH 6300*)

Community-based organizations (CBOs) shall submit a monthly Report of Expenditures and Request for Funds (Cal EMA 2-201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form Cal EMA 2-201 will result in the withholding of funds and may result in the recommendation to Cal EMA's Agency Secretary for termination of the grant award.

5. Technical Assistance/Site Visits (*RH 10300*)

Funded projects are assigned a Cal EMA program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are available to assist the recipient in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. New projects should

expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

6. Monitoring Requirements (*RH 10400*)

A monitoring visit is an onsite assessment by staff to determine if the project is in compliance with the terms of the program, the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the *Recipient Handbook*. Projects will be monitored on a random or as-needed basis.

7. Audit Requirements (*RH 8100*)

To safeguard Cal EMA assets and to ensure that all funds are accounted for, Cal EMA requires that organizations receiving Cal EMA grant award(s) be audited in accordance with *Recipient Handbook* section 8100.

8. Source Documentation (*RH 10111*)

Recipients will be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements pertaining to the objectives outlined in the Grant Award Agreement. Recipients are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the RFA instructions. Recipients will be required to have written job descriptions on file for positions funded by Cal EMA detailing specific grant-related activities to achieve project objectives.

9. Bonding Requirements (*RH 2160*)

Private community-based organizations and American Indian organizations are required to obtain and send to Cal EMA a copy of a blanket fidelity bond or equivalent insurance contract applicable to officials and employees of Cal EMA-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, California Emergency Management Agency" and include the Grant Award number for identification purposes.

The time period covered by the bond must include the effective date and total time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the program or grant award conditions.

10. Copyrights, Rights in Data, and Patents (*RH 5300-5400*)

Cal EMA owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the *Recipient Handbook*.

C. BUDGET POLICY

This document summarizes information on Cal EMA Budget Policy contained in the *Recipient Handbook*. Additional information may be obtained by accessing the *Recipient Handbook* at www.CalEMA.ca.gov. Look on the right side of the Cal EMA homepage under “Quick links” for the 2010 Criminal Justice Programs *Recipient Handbook*, or scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for “Recipient Handbooks.”

1. Supplanting Prohibited (*RH 1330*)

Grant funds must be used to supplement existing funds for program activities and *not replace* funds appropriated for the same purpose. If selected for funding, a written certification must be provided to Cal EMA indicating grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are found in Section 1330 of the *Recipient Handbook*.

2. Project Income (*RH 6610*)

Project income, such as client fees and fees for services provided by the recipient (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFA instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFA instructions.

3. Methods of Contracting and/or Procurement (*RH 3400*)

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by Cal EMA program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$5,000. Local units of government may use their approved procurement policy except for contracts over \$50,000 which require prior Cal EMA approval. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a narrative describing the competitive bid process or a sole-source procurement (noncompetitive bid) request will be required. Cal EMA will provide assistance in submitting a noncompetitive bid request if the proposal is selected for funding and if Cal EMA determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, *Recipient Handbook*).

4. Match Requirements (*RH 6500*)

The RFA Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses or Equipment are considered match if not in violation of the prohibition on supplanting. Match must be specified in the budget and will become part of the Grant Award Agreement. Specific instructions for calculating the match are provided below. There are examples of how to calculate the match requirement in Sections 6550-6550.2 of the *Recipient Handbook*.

5. Travel Policies (*RH 2236*)

The following is Cal EMA's current travel policy:

a. Travel and Per Diem (*RH 2236*)

The applicant may prepare the budget using its own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government

Units of government may use their own written travel policy or the state policy.

2) Community-Based Organizations (CBOs)

A community-based organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b. State Travel and Per Diem Policy (*RH 2236.2*)

Use the following state travel policy for budgeting travel expenses:

1) Out-of-State Travel

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for Cal EMA approval.

2) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 5:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

The maximum is \$40.00 for a 24-hour period.

3) Lodging

The maximum allowed lodging expense is \$84.00, plus applicable taxes, (except as noted below). Lodging receipts are required for reimbursement.

4) Special Lodging Rates

The maximum allowed lodging rate in Los Angeles and San Diego counties is \$110.00, plus applicable taxes. The maximum for Alameda, San Francisco, San Mateo, and Santa Clara counties is \$140.00, plus applicable taxes.

5) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 50 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the application.

6) Other

Taxi, airport shuttle, etc., which exceed \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

6. Participating Staff (*RH 4500*)

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the recipient on the implementation of a project. The agreement between the recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with participating staff must be itemized in the Operating Expenses category of the grant budget.

7. Independent Contractor/Consultant Services (*RH 3710*)

Consultant services are provided on a contractual basis by individuals or organizations not directly employed by the applicant. Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations meeting some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or
- have no agency management or oversight responsibilities directed toward the financial success or direction of the agency.

a. Rates (3710.1)

The maximum rate for independent contractors is \$250.00 per hour (excluding travel and subsistence costs). Compensation over \$250.00 per hour requires additional justification and **prior approval** from Cal EMA.

1) Independent Contractors Employed by State and Local Government

Compensation for independent contractors will be allowed when the unit of government will not provide its services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees (*RH 3710.2*)

Projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the project may only be charged for costs above what the jurisdiction is required to cover. The maximum allowable rate for such witness fees is \$250.00 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent (10%) of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- qualifications, training, and experience of the expert(s), including a statement regarding recognition by the court of the individual as an expert;
- specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT); Medical Doctor (MD)];
- rate of pay per hour including documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay with a cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony);
- proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation); and
- justification why this cost cannot be paid with other funds [attach the justification to Cal EMA 2-106].

8. Facility Rental (*RH 2232*)

Up to \$21.00 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the application.

- Rental Space for Training and Counseling Rooms (*RH 2232.1*)

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the charge is based on actual costs and not reimbursed by another source.

9. Rented or Leased Equipment (*RH 2233*)

An explanation and cost analysis is required when equipment is rented or leased. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it, and must be approved by Cal EMA prior to the execution of a rental or lease agreement.

10. Indirect Costs/Administrative Overhead (*RH 2220*)

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent (10%) of personnel salaries (excluding benefits and overtime) or five percent (5%) of total direct project costs (excluding equipment) may be budgeted by applicant for indirect costs if allowable by the funding source.

11. Audits (*RH 8150*)

Recipients expending between \$25,000 and \$499,999 in federal or state funds annually cannot use federal funds to reimburse for costs associated with audits. Recipients expending \$500,000 or more in federal grant funds annually are required to secure an audit pursuant to OMB Circular A-133 and are allowed to utilize federal grant funds to budget for the audit costs.

Specifically, the allowable audit costs are as follows:

- if the total project cost is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or
- if the total project cost is greater than \$150,000, the project may budget up to one and a half percent (1.5%) of the total project cost for financial audit costs.

12. Equipment (*RH 2300*)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

a. Allowable Expenses

Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the recipient for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by Cal EMA is required.

b. Computers and Automated Equipment (*RH 2340*)

1) Community-Based Organizations (*RH 2342.1*)

Community-based organizations may budget up to \$25,000 in computer equipment, software, and related costs. Justification will be required if the proposal is selected for

funding. Cal EMA will evaluate the proposed purchase on the basis of grant-related need. Prior approval by Cal EMA is required.

2) Units of Government (*RH 2342.2*)

Units of government may budget for computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal EMA will evaluate the proposed purchase on the basis of grant-related need. Cal EMA must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required.

3) Computer Purchase Justification (*RH 2341*)

Approval for purchases of computers and automated equipment is contingent on the applicant's ability to demonstrate cost-effective, project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. If selected for funding, the applicant will be sent instructions for preparing the justification.

c. Automobiles (*RH 2331*)

Automobiles are not allowable items unless permitted by the terms of the program. If an automobile is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for the automobile, including the size of service area, the need to provide direct service away from the office, and the reason why the agency will not allow personal automobile usage during work hours. A cost analysis for automobile purchase, as compared to other options including lease and personal automobile use and mileage, must be done and kept on file for review by Cal EMA program staff during a site visit, monitoring visit, and/or audit.

13. Prohibited Expense Items (*RH 2240*)

a. Bonuses and Commissions (*RH 2241*)

Projects are prohibited from paying any bonus or commission to any individual, organization or firm unless specifically authorized by the terms of the program

b. Lobbying (*RH 2242*)

Refer to *RH 2242.1* for an extensive list of prohibited activities.

c. Fundraising (*RH 2243*)

Cal EMA grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

d. Real Property and Improvements (*RH 2244*)

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the RFA instructions.

e. Interest (*RH 2245*)

The cost of interest payments is only allowable if the cost is a result of a lease/purchase agreement.

f. Charges, Fees, and Penalties (*RH 2245*)

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

g. Food and Beverages (*RH 2246*)

The cost of food and/or beverages at grant-sponsored conferences, meetings or office functions is not an allowable expenditure.

h. Weapons and Ammunition (*RH 2247*)

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFA instructions.

i. Membership Dues (*RH 2248*)

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFA instructions.

j. Professional License (*RH 2248*)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFA instructions.

k. Annual Professional Dues or Fees (*RH 2248*)

The cost of professional dues or fees is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized by the RFA instructions.

l. Depreciation (*RH 2249*)

Equipment costs may not include additional costs calculated for depreciation.

ANTI-DRUG ABUSE (ADA) ENFORCEMENT TEAM**PART IV - APPLICATION FORMS**

Click on one of the links below to access the corresponding form. Save the form to your hard drive before filling it out. To access the complete list of forms go to www.CalEMA.ca.gov, scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” then look under the “Related Links” section for “Forms”. Or, paste the following link into your browser:

[http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)&Div=Law+Enforcement+and+Victim+Services+\(LEVS\)&Branch=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)Forms](http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)&Div=Law+Enforcement+and+Victim+Services+(LEVS)&Branch=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)Forms)

[Application Cover Sheet](#)

[Application Checklist](#)

[Grant Award Face Sheet and Instructions \(Cal EMA 2-101\)](#)

[Project Contact Instructions and Information \(Cal EMA 2-102\)](#)

[Signature Authorization and Instructions \(Cal EMA 2-103\)](#)

[Certification of Assurance of Compliance – ADA \(Cal EMA 2-104a\)](#)

[Application Budget – Budget Narrative \(Cal EMA 2-107\)](#)

[Project Narrative \(Cal EMA 2-108\)](#)

[Federal Grant Funds Log – \(Cal EMA 2-105\)](#)

[Budget Forms \(Excel spreadsheet format\) – 2-106b. Without Match](#)

[Project Summary \(Cal EMA 2-150\)](#)

[Sample Operational Agreement \(Cal EMA 2-161\)](#)

[Noncompetitive Bid Request Checklist \(Cal EMA 2-156\)](#)

[Out-Of-State Travel Request \(Cal EMA 2-158\)](#)

[Confidential Funds \(Cal EMA 2-163\)](#)

[Project Service Area Information \(Cal EMA 2-154\)](#)

[Computer and Automated Systems Purchase Justification \(Cal EMA 2-157\)](#)

[Reporting Alien Convictions \(Cal EMA 2-159\)](#)

ANTI-DRUG ABUSE (ADA) ENFORCEMENT TEAM**GLOSSARY OF TERMS**

TERM	DEFINITION
Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Recipient	The agency or organization designated on the Grant Award Face Sheet (Cal EMA 2-101) is the programmatic Recipient of the grant funds and will accomplish the planned objectives and program goals. The Recipient was formerly referred to as the "Grantee."
Application	Once selected for funding, the original proposal plus any additional forms as required by Cal EMA becomes the application. This application, once signed by Cal EMA and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement (Cal EMA 2-101).
CFR	Code of Federal Regulations
Community-based Organization (CBO)	A nonprofit, public benefit corporation.
Competitive Bid	A contract process used when all suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan that analyzes the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender. The objective of the EEOP is to ensure nondiscrimination in all areas of employment (recruitment, hiring, promotions, etc), and in the delivery of services and benefits.
Equal Employment Opportunity (EEO) Checklists	An EEO Checklist is a document used by program staff while conducting site/monitoring visits. The checklists (A and B) were prepared to assist Cal EMA in verifying that recipients are in compliance with State and Federal Civil Rights Laws.
Grant Award Agreement	The signed final agreement between Cal EMA and the local government agency or organization authorized to accept grant funding. (See Application).
Grant Funding Cycle	The number of years a program may be funded without competition. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA), which the project narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (Cal EMA 2-101)
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).

Monitoring Report Response Form	Form sent to the Recipient with the Monitoring report. The form is completed by the Recipient and returned to the Cal EMA Local Assistance Monitoring Branch (LAMB), indicating the Monitoring Report is accurate or inaccurate as of the date of the Monitoring.
Noncompetitive Bid (NB)	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances).
Nonprofit Organization (aka Community-Based Organization)	<p>A nonprofit, public benefit corporation as defined in the federal regulation of 28 C.F.R. Part 38, Department of Justice. This modifies the need to be recognized by the Internal Revenue Service as a 501(c)(3) for recipients of faith-based organizations. All organizations may qualify for nonprofit status using any one of the four following methods:</p> <p>(1) Proof that the Internal Revenue Service recognizes the applicant has the status of a 501(c)(3).</p> <p>(2) A statement from a State taxing body or the State Secretary of State certifying that (i) the Organization is a nonprofit organization operating within the State; and (ii) No part of its net earnings may lawfully benefit any private shareholder or individual:</p> <p>(3) A certified copy of the applicant's certificate of incorporation or similar document that clearly establishes the nonprofit status of the applicant; or</p> <p>(4) Any item described in (1) through (3) if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate.</p>
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.
On Site	Refers to the location of operation of the grant award recipient. If multiple sites exist, the site that provides the project recipients with program direction qualifies as the "on site location."
Operational Agreement (OA)	A formal agreement between two or more agencies, which specifies the responsibilities of each agency in implementing the project. The term Operational Agreement also includes documents entitled Memorandum of Understanding, Letters of Intent, or other titles that serve the same purpose.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.
Participating Staff	A salaried employee of a Participating Agency.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set

	appropriation from state or federal funding sources.
Project	The implementation of a Program by a Recipient. The project includes all of the grants implemented by the Recipient under that Program regardless of the year of implementation.
Proposal	The packet of forms and narrative as requested by the RFA and submitted to Cal EMA that specified the priorities, strategies, and objectives of the applicant.
Recipient Handbook	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <i>Recipient Handbook</i> is accessible at www.CalEMA.ca.gov . Look on the right side of the Cal EMA homepage under “Quick links” for the <i>Criminal Justice Programs Recipient Handbook</i> or scroll over the “Grant Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for “Recipient Handbooks.” The <i>Recipient Handbook</i> was previously called the <i>Grantee Handbook</i> .
Request for Application (RFA)	The RFA is a noncompetitive process issued by Cal EMA to obtain applications from applicants previously selected for funding.
Request for Proposal (RFP)	The RFP is issued by Cal EMA to solicit competitive proposals in order to select projects for funding.
Single Source	This term has been replaced by the term "noncompetitive bid."
Sole Source	This term has been replaced by the term "noncompetitive bid."
Source Documentation	Records that validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement.
Supplanting	To reduce federal, state, or local funds because of the existence of Cal EMA funds. Supplanting occurs when a Recipient deliberately replaces its non-Cal EMA funds with Cal EMA funds, thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], grant award agreement, Cal EMA policy statements, and applicable statutes. In the event the terms of the program are inconsistent with the provisions of this handbook, the terms of the program shall be interpreted and construed as superseding the provisions of this handbook.
USC	United States Code